

NATIONAL MARINE FISHERIES SERVICE POLICY DIRECTIVE [33-102]
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PERFORMANCE MEASUREMENT

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SUMMARY OF REVISIONS:

1. Introduction. This policy establishes the authority and procedures for performance measurement within the National Oceanic and Atmospheric Administration (NOAA) National Marine Fisheries Service (NMFS). Performance measures, a legal mandate under the Government Performance and Results Act (GPRA), are a key component of strategic planning, budget formulation, annual planning, execution of the current year budget, and formal reporting for a variety of purposes. Performance measurement includes developing appropriate performance measures, producing planned targets and actual numbers for the measures, periodically reporting these numbers, establishing key annual milestones to track progress toward achieving results, identifying and quantifying impacts of budget changes on agency performance, and tracking long-term progress toward the goals and objectives of the agency.

2. Objective. To establish a system and process for developing and reporting on performance measures and milestones, which are quantitative, measurable, and verifiable metrics for gauging the success of NMFS' programs. Quality measures - based on data that are supportable, consistent, and accessible to all employees - are critical to successful planning and reporting. This policy, with its procedural directives, addresses these issues.

3. Authorities and Responsibilities. This policy establishes the following authorities and responsibilities:

3.1 The Deputy Assistant Administrator for Operations (DAAO) will be responsible for:
a. ultimate oversight of this policy;

b. resolving any disputes that may arise as a result of this policy.

3.2 The NMFS Office of Management and Budget (MB) will be responsible for:
a. directing and supporting performance measurement within NMFS;

b. administering the data content component of the electronic Annual Operating Plan (eAOP) system for developing and tracking annual milestones, and for coordinating the milestone reporting process;

c. establishing MB procedural directives consistent with this policy for collecting, reporting, updating, and archiving performance information;

- d. directing and supporting the development, establishment, and submission of new performance measures and establishing business rules in the form of procedural directives for this purpose;
- e. reviewing and coordinating approval of the measures, targets, and baselines and proposed changes to them;
- f. maintaining a central repository of approved performance measures, targets, actuals, and associated metadata, and ensuring its availability to Agency staff;
- g. incorporating approved measures into performance-based budget documents and other associated documents, such as the Annual Performance Plan and the Performance and Accountability Report;
- h. serving as the conduit for reporting performance measure information to NOAA, the Department of Commerce, and OMB as part of periodic reporting or in response to ad hoc requests;
- i. coordinating NMFS' representation on NOAA performance working groups;
- j. coordinating all program Performance Assessment Ratings Tool (PART) reviews.

3.3 The PPBES Program Managers within NMFS will be responsible for:

- a. developing appropriate performance measures in consultation with the Regional Administrators and Science Directors to meet the needs of the Program and NMFS management and for all purposes prescribed by NOAA;
- b. coordinating the development of milestones, measures, and targets, and the reporting of this information, with the Regional Administrators, Science Directors, Office Directors, and MB;
- c. establishing Program business rules (in the form of procedural directives consistent with this policy) for collecting and reporting performance measure information, including processes for the development of targets and monthly or quarterly reporting, that will describe the details of the process of data collection and coordination between the program and the various field offices;
- d. reporting all required performance information for any performance measure that appears in the budget or is used in any formal reporting process (this includes GPRA and NOAA Corporate measures as well as any measures used in PART or the quarterly quad charts, but not measures that appear only in the Program Operating Plan) to MB in accordance with established procedural directives;
- e. providing timely adjustments to performance measure targets in response to changing budget levels, with supporting budget impact statements linking budget

changes to levels of performance as required for various budget documents;

f. ensuring adherence to established Program business rules providing repeatability and transparency of numbers when reporting performance information;

g. ensuring all other reporting of performance information is consistent with the information reported to and maintained by MB.

3.4 The Regional Administrators, Science Directors, and Office Directors will be responsible for:

a. consulting with Program Managers in the development of performance measures

b. identifying and reporting to Program Managers problems or issues that will affect agency performance;

c. providing timely data to Program Managers related to specific performance measure accomplishments or results;

d. assisting Program Managers in setting performance targets based on planned accomplishments, and in adjusting targets in response to changing budget levels by identifying specific impacts on operations and levels of productivity;

e. populating the eAOP with annual milestones and ensuring timely milestone status reporting within the eAOP system.

4. The following criteria will be used to evaluate the effectiveness of this policy:

4.1 Performance measures, targets, and actual values are clear, transparent, and responsive to changes in funding levels, and are reported consistently in all documents containing such information;

4.2 Where appropriate, performance measures meet standards established by OMB under GPRA and PART.

4.3 Reports related to performance are submitted by MB to NOAA and others on time and with complete and accurate information;

4.4 Reports related to performance are submitted by the Program Managers to MB on time and with complete and accurate information;

4.5 Complete Agency performance information with sufficient supporting documentation is available to all NMFS employees from a single source;

4.6 Milestones are updated with current status in a timely fashion ensuring Program

Managers can accurately report on program status

4.7 Procedural directives establishing the MB and Program Manager business rules, as described in 3.2 and 3.3, respectively, are distributed in draft within 30 days and completed in final form and signed within 60 days of this policy directive being signed.

5. References. Procedural directives will be issued to implement this policy as needed.

6. Glossary of Terms The following definitions are provided for reference:

Actual – The performance achieved in a particular year for a particular performance measure.

Baseline – The part of a performance measure that establishes the initial level of measurement (value and date) against which targeted progress and success is compared. A baseline includes both a starting date and starting level/value.

Business rules – The set of policies and definitions that define how a performance measure will be measured and reported. Examples include when a stock assessment is deemed to be complete, the definition of “unknown status,” or what document is to be used as the definitive source for a particular datum. Business rules need to provide for program manager review and approval of reported information.

GPRA – The Government Performance and Results Act (the law that established the requirement for all federal agencies to have strategic plans with quantitative, measurable, outcome-based performance measures).

Metadata - Data about data. This is information that describes another set of data. It is additional information regarding the data referenced by, in this case, a performance measure (e.g., information about how a stock is counted as rebuilt or recovered). Other common contents of metadata include the source or author of the described dataset, how it should be accessed, and its limitations.

Milestone - Milestones are distinct actions planned for completion by a specific time during a fiscal year. Milestones are planned within capabilities, which belong to a single PPBES Program. Milestones roll up to a single capability and to a single PPBES Program. Milestones also roll up to a corporate measure, GPRA measure, or other appropriate program measure.

PART - Program Assessment Rating Tool. This is a process established by OMB to review the effectiveness of every government program every five years. It is based on a questionnaire covering such topics as performance measures, financial controls, and independent evaluations. It results in one of five possible scores: Effective, Moderately Effective, Adequate, Ineffective, or Results Not Demonstrated.

Performance measure – A structured statement that describes the means by which actual outcomes and outputs are measured against planned outcomes and outputs. To be effective, the measure must be aligned with NOAA’s Strategic Goals and gauged at all program levels.

Program – A planned, coordinated set of activities designed to achieve a desired outcome; the defined effort with the purpose of meeting existing requirements or providing a new or improved capability to meet stated requirements. Programs are officially established by the NOAA Executive Council.

Program Manager – For the purpose of these directives, Program Manager shall mean only managers of PPBES Programs that are led by NMFS. Current program managers are as follows:

PROGRAM CONTACT LIST			
Program	Program Manager	Program Reps. & Staff	MB Analyst
HAB	Pat Montanio	Peg Brady Roger Hutchinson	Miguel Lugo
FMP	Galen Tromble	Kim Marshall Daniel Morris Matthew Thorburn	Heather Sagar
PSP	Phil Williams	Philip Hoffman	Larissa Nojek
EOP	Ned Cyr	Steve Swartz Corey Niles Mark Chandler Bridget Ferriss	Jeannine Cody
ENF	Dale Jones	Mark Paterni Patricia Rufus	Miguel Lugo
AQC	Michael Rubino	David O'Brien Bruce Morehead	Miguel Lugo
CLE	Kenric Osgood		Jeannine Cody

Target – The part of a performance measure that establishes the desired level to be reached in a defined time period, usually stated as an improvement over the baseline.

Total Universe – The full scope of all items within the realm of a particular performance measure. For example, if six overfished stocks will be improved this year, the total universe would be the list of all overfished stocks.

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August 3, 2006

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Date